



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:  
David J. Mangelsdorf et al.

Serial No.: 09/460,292

Filed: December 10, 1999

For: COMPOSITIONS AND METHODS OF  
MODULATING CHOLESTEROL  
METABOLISM

Group Art Unit: 1615

Examiner: Unknown

Atty. Dkt. No.: UTSD:596/PAR

DECLARATION CLAIMING SMALL ENTITY STATUS  
37 C.F.R. §§ 1.9(f) AND 1.27(d) - NONPROFIT ORGANIZATION

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Organization: BOARD OF REGENTS, THE UNIVERSITY OF TEXAS  
SYSTEM

Address of Organization: 201 West 7<sup>th</sup> Street  
Austin, Texas 78701

The type of organization is a university.

I hereby declare that the organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. § 1.9(e) (1), and thus is a "small entity" as defined in § 1.9(f), for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code, with regard to the above-referenced application.

I hereby declare that exclusive rights to the invention have been conveyed to and remain with the organization, with respect to the above-referenced invention, nor have I assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR § 1.9(c) if that person had made the invention, or to any

concern which would not qualify as a small business concern under 37 CFR. § 1.9(d) or a nonprofit organization under 37 CFR § 1.9(e).

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

BOARD OF REGENTS, THE UNIVERSITY  
OF TEXAS SYSTEM

By: 

Name: Ray Farabee

Title: Vice Chancellor & General Counsel

Date: May 16, 2000



PATENT  
UTSD:596

### DECLARATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or the below named inventors are the original, first and joint inventors (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **COMPOSITIONS AND METHODS OF MODULATING CHOLESTEROL METABOLISM**, the Specification of which:

- ☐ is attached hereto.  
☒ was filed on **December 10, 1999** as Application Serial No. **09/460,292**.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims.

I acknowledge the duty to disclose to the Patent and Trademark Office all information known to me to be material to patentability of the subject matter claimed in this application, as "materiality" is defined in Title 37, Code of Federal Regulations, § 1.56.

I hereby claim priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent, United States provisional application(s), or inventor's certificate listed below and have also identified below any foreign application for patent, United States provisional application, or inventor's certificate having a filing date before that of the application on which priority is claimed:

PRIORITY APPLICATION(S)			Priority Claimed
60/111,894	USA	December 10, 1998	Yes
(Number)	(Country)	(Date Filed)	Yes/No

I hereby direct that all correspondence and telephone calls be addressed to Steven L. Highlander, Fulbright & Jaworski, L.L.P., 600 Congress Avenue, Suite 2400. Austin, Texas, 78701, 512/418-3000.

I HEREBY DECLARE THAT ALL STATEMENTS MADE OF MY OWN KNOWLEDGE ARE TRUE AND THAT ALL STATEMENTS MADE ON INFORMATION AND BELIEF ARE BELIEVED TO BE TRUE; AND FURTHER THAT THESE STATEMENTS WERE MADE WITH THE KNOWLEDGE THAT WILLFUL FALSE STATEMENTS AND THE LIKE SO MADE ARE PUNISHABLE BY FINE OR IMPRISONMENT, OR BOTH, UNDER SECTION 1001 OF TITLE 18 OF THE UNITED STATES CODE AND THAT SUCH WILLFUL FALSE STATEMENTS MAY JEOPARDIZE THE VALIDITY OF THE APPLICATION OR ANY PATENT ISSUED THEREON.

Inventor's Full Name:	David	J.	Mangelsdorf
Inventor's Signature:	<i>David Mangelsdorf</i>		
Country of Citizenship:	USA	Date:	4/18/00
Residence Address: (street, number, city, state, and/or country)	<del>1446 Cardinal Creek Drive</del> 3838 Rawlins St., Apt. 206 <del>Duncanville, Texas 75137</del> Dallas, TX 75219		
Post Office Address: (if different from above)			

Inventor's Full Name:	Joyce	J.	Repa
Inventor's Signature:	<i>Joyce J. Repa</i> Ph.D.		
Country of Citizenship:	USA	Date:	4/18/00
Residence Address: (street, number, city, state, and/or country)	6031 Pineland Drive #2102 Dallas, Texas 75231		
Post Office Address: (if different from above)			

Inventor's Full Name:	Stephen	D.	Turley
Inventor's Signature:	<i>Stephen D. Turley, Ph.D.</i>		
Country of Citizenship:	<del>USA</del> AUSTRALIA	Date:	4/18/00
Residence Address: (street, number, city, state, and/or country)	6459 Bordeaux Avenue Dallas, Texas 75209-5703		
Post Office Address: (if different from above)			

Inventor's Full Name:	John	M.	Dietschy
Inventor's Signature:	<i>John M. Dietschy M.D.</i>		
Country of Citizenship:	USA	Date:	04/18/00
Residence Address: (street, number, city, state, and/or country)	5411 Stonegate Road Dallas, Texas 75209		
Post Office Address: (if different from above)			



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# 5  
623-08

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ELECTION UNDER 37 C.F.R. §§ 3.71 AND 3.73  
AND POWER OF ATTORNEY

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The undersigned, being Assignee of record of the entire interest in the above-identified application by virtue of an assignment recorded in the United States Patent and Trademark Office as set forth below, hereby elects, under 37 C.F.R. § 3.71, to prosecute the application to the exclusion of the inventors.

The Assignee hereby revokes any previous Powers of Attorney and appoints:

Louis T. Pirkey, Reg. No. 22,393; Richard J. Groos, Reg. No. 32,231; David L. Parker, Reg. No. 32,165; William G. Barber, Reg. No. 33,154; David D. Bahler, Reg. No. 30,932; Stephen D. Dellett, Reg. No. 32,564; Michael S. Metteauer, Reg. No. 34,875; Michael O. Scheinberg, Reg. No. 36,919; Mark B. Wilson, Reg. No. 37,259; J. Scott Denko, Reg. No. 37,606; Steven L. Highlander, Reg. No. 37,642; Erik R. Nordstrom, Reg. No. 39,792; Mark A. Thurmon, Reg. No. 39,858; Teresa J. Bowles, Reg. No. 40,526; Stephen P. Meleen, Reg. No. 40,724; Richard A. Nakashima, Reg. No. 42,023; Patrick Stelltano, Reg. No. 42,169; Robert E. Hanson, Reg. No. 42,628; Nicole Stafford, Reg. No. 43,929; Michael C. Barrett, Reg. No. 44,523; Mark T. Garrett, Reg. No. 44,699; Jonathan Hurt, Reg. No. 44,790; Gina N. Shishima, Reg. No. 45,104; Debra L. Dennett, Reg. No. 46,370; and Stephen M. Hash, Reg. No. 45,490;

each an attorney or agent of the firm of FULBRIGHT & JAWORSKI, L.L.P., as its attorney or agent for so long as they remain with such firm, with full power of substitution and revocation, to prosecute the application, to make alterations and amendments therein, to transact all business

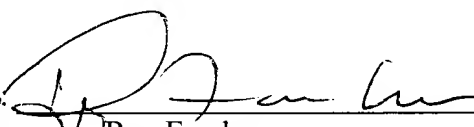
in the Patent and Trademark Office in connection therewith, and to receive any Letters Patent, and for one year after issuance of such Letters Patent to file any request for a certificate of correction that may be deemed appropriate.

Pursuant to 37 C.F.R. § 3.73, the undersigned has reviewed the evidentiary documents, specifically the Assignment to BOARD OF REGENTS, THE UNIVERSITY OF TEXAS SYSTEM, referenced below, and certifies that to the best of my knowledge and belief, title remains in the name of the Assignee.

Please direct all communications as follows:

David L. Parker  
FULBRIGHT & JAWORSKI, L.L.P.  
600 Congress Avenue, Suite 2400  
Austin, Texas 78701  
(512) 418-3000

ASSIGNEE:  
BOARD OF REGENTS, THE UNIVERSITY  
OF TEXAS SYSTEM

By:   
Name: Ray Farabee  
Title: Vice Chancellor and General Counsel

Date: May 16, 2000

ASSIGNMENT:

☒ Concurrently filed  
☐ Previously recorded  
Date: \_\_\_\_\_  
Reel: \_\_\_\_\_  
Frames: \_\_\_\_\_